

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 3342578   |
| <b>Application Number:</b>                  | 10632818  |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 5247  |
| <b>Title of Invention:</b>                  | Auction system and method for pricing and allocation during capital formation |
| <b>First Named Inventor/Applicant Name:</b> | William R. Hambrecht  |
| <b>Customer Number:</b>                     | 2101  |
| <b>Filer:</b>                               | Robert Asher  |
| <b>Filer Authorized By:</b>                 |   |
| <b>Attorney Docket Number:</b>              | 2955/107  |
| <b>Receipt Date:</b>                        | 22-MAY-2008   |
| <b>Filing Date:</b>                         | 04-AUG-2003   |
| <b>Time Stamp:</b>                          | 12:28:20  |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)   |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$ 120          |
| RAM confirmation Number                  | 8686            |
| Deposit Account                          | 194972          |
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## File Listing:

| Document Number | Document Description | File Name               | File Size(Bytes) /Message Digest        | Multi Part /.zip | Pages (if appl.) |
|-----------------|----------------------|-------------------------|---|------------------|------------------|
| 1               |                      | dcg2955107_Election.pdf | 143992                                  | yes              | 4                |
|                 |                      |                         | 16791e7bf4b536a083fe8e411665f79deb68ede |                  |                  |

|  |   |  |       |     |  |
|--|---|--|-------|-----|--|
|  | Multipart Description/PDF files in .zip description |  |       |     |  |
|  | Document Description                                |  | Start | End |  |
|  | Miscellaneous Incoming Letter                       |  | 1     | 2   |  |
|  | Response to Election / Restriction Filed            |  | 3     | 4   |  |

## Warnings:

## Information:

|   |                        |              |  |    |   |
|---|------------------------|--------------|--|----|---|
| 2 | Fee Worksheet (PTO-06) | fee-info.pdf | 8165                                     | no | 2 |
|   |                        |              | eea11039614ba85e363d118865a106458bd06efc |    |   |

## Warnings:

## Information:

|                              |  |  |        |
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### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.